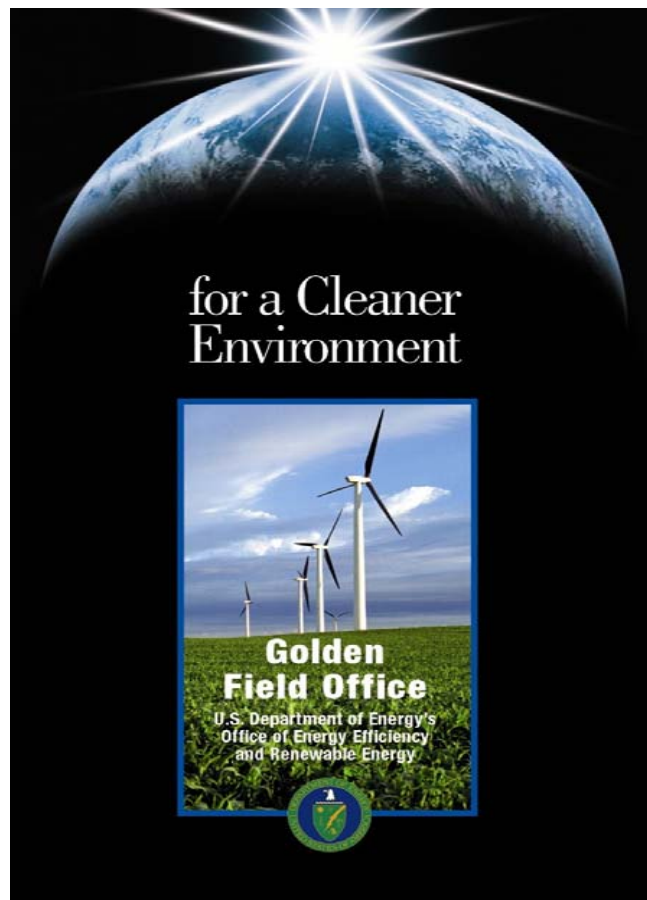




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FY 2005 DOE Wind Implementation Meeting Nov 16-18, 2004



Overview of Grants and Cooperative Agreements for DWT and GO Support for the Wind Hydropower Technology Program (WHTP)

Presented by
Keith Bennett,
DOE Project Manager
DOE GOLDEN FIELD OFFICE
Golden, CO



Overview of Grants and Cooperative Agreements for DWT

Presentation Outline:

- i. Overview of Golden Field Office (GO) and Project Management Center (PMC)
- ii. GO accomplishments and plans in support of WHTP
- iii. New funding opportunity and procedures for applying to Grants.Gov
- iv. Differences noted between grants vs subcontracts, based on lessons learned
- v. Overview status of the 10 DWT grants awarded by GO during the last year



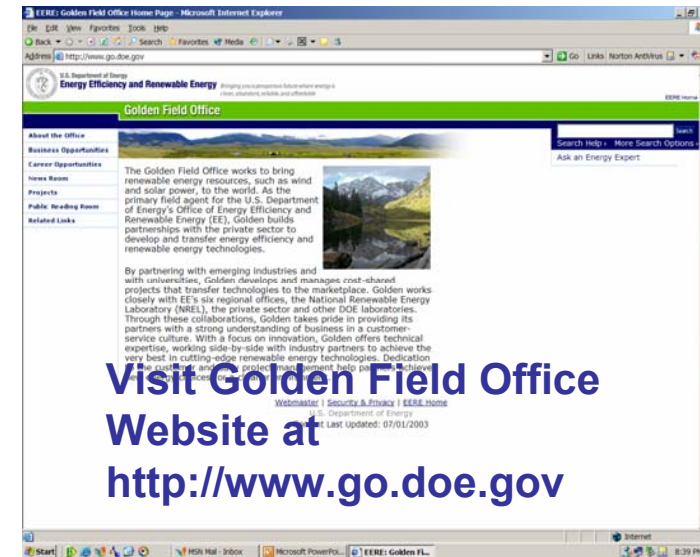
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Introduction to Golden Field Office

Location: Golden, CO near National Renewable Energy Lab (NREL) main facilities and adjacent to I-70 and Denver West Parkway

Provides: Golden Field Office dedicated entirely to Energy Efficiency and Renewable Energy Projects

- Work with Research and Development for Emerging Technologies to reduce economic risk by providing financial assistance
- GO's awardees take R&D from pure research to deployment, include education and outreach activities
- Typical projects are competitively selected by merit
- Typical recipients have a Principal Investigator who works independently to achieve project objectives
- GO is part of the new Virtual Project Management Center (PMC) w/NETL, DOE RO's, and STAC
- GO's DOE staff is over 80



**Visit Golden Field Office
Website at
<http://www.go.doe.gov>**



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DOE EERE Functional Areas

Office of Energy Efficiency and Renewable Energy

Renewable Energy

- Wind
- Hydropower
- Geothermal
- Hydrogen
- Bio-Energy
- Solar

Energy Efficiency

- Buildings
- Carbon-based Power
- Industry
- Transportation

Business Administration

- Project Execution
- Planning, Budget & Analysis
- Information & Mgt Systems
- Project Management Center
 - Golden Field Office
 - NETL
 - RO's
 - STAC



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EERE Project Management Center (PMC)

Purpose:

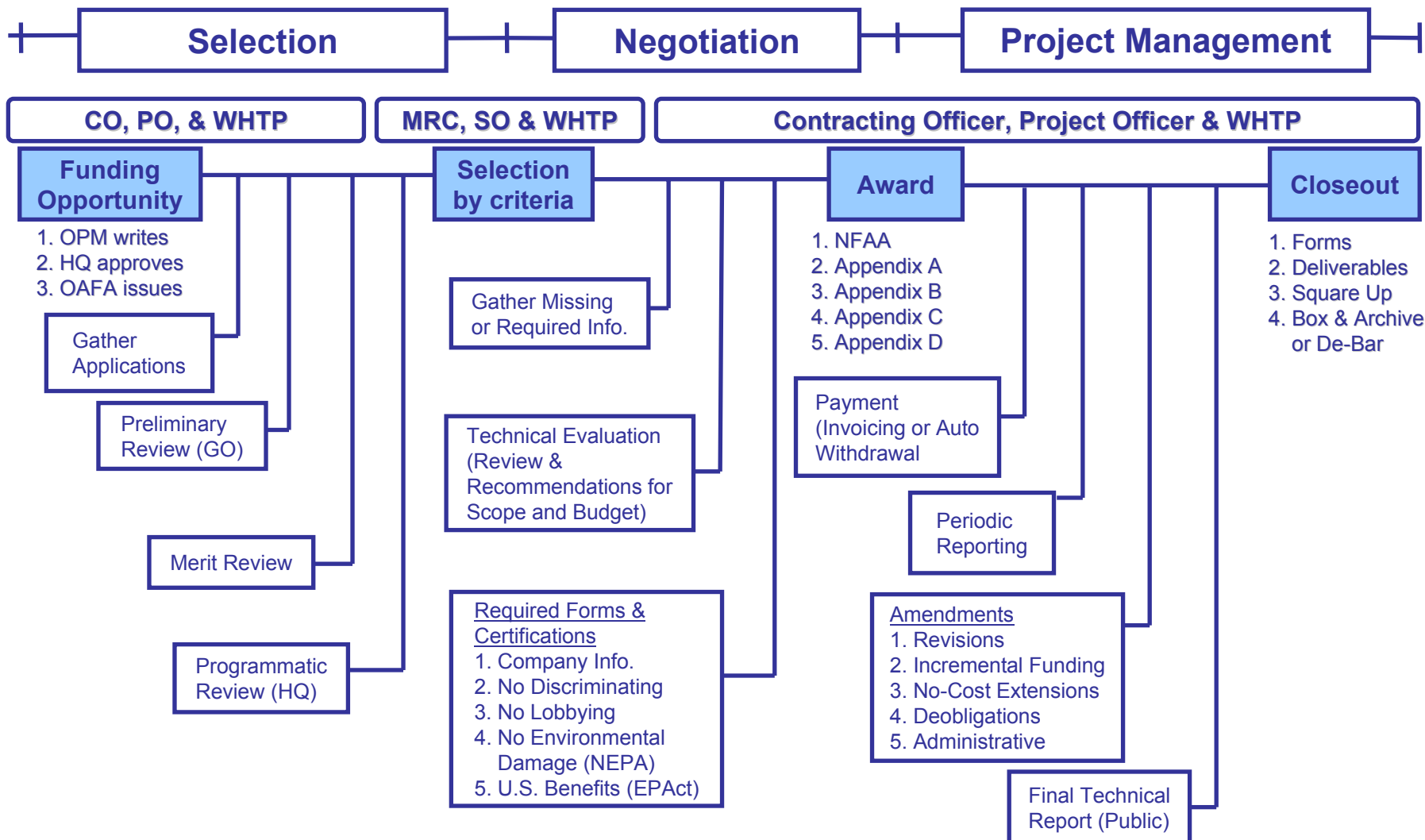
- ☐ To establish common procedures, policies, and rules for contracting
- ☐ Improve management of projects to ensure better results
- ☐ Reduce recipient's economic risk associated with R&D of emerging technologies
- ☐ Effectively utilize Grants and Cooperative Agreement processes

Roles and Responsibilities are established by DOE Memorandum of Understanding

| Virtual PMC Office | <u>Golden Field Office</u> | <u>National Energy Technology Lab</u> | <u>Regional Offices & STAC</u> |
|-------------------------------|---------------------------------------|--|---|
| Main Emphasis Area | Renewable Energy | Energy Efficiency | Deployment |
| DOE Funding | Energy & Water Appropriations | Interior Appropriations | Multiple Sources |
| Key Function | Scientific and Engineering R&D | Scientific and Engineering R&D | Technical Assistance |



Standard Project Timeline for WHTP Grants





Golden Field Office Contributions to WHTP

- GO currently manages 46 grant and cooperative agreement projects for WHTP:
 - Total DOE funded value is \$9 million
 - \$3.8 million of FY04 funds were awarded to projects in FY04
 - \$5.2 million was paid to recipients during FY04
 - GO made 15 new awards, primarily DWT & earmarks
 - Accomplished over 30 other agreement modification actions
 - Participated in 8 project kick-off meetings and 3 design reviews
 - Obtained and reviewed quarterly progress & financial reports for projects
 - Reviewed and approved monthly invoices from recipients
 - Provided planning documents for FY05 and FY 06 Funding Opportunity Announcements
 - Added 9 projects that were transferred from other offices
 - Presentation on Earmarks at Wind Peer Review in May 2004
 - Participated in last year's Wind and Hydropower Implementation meetings.
 - Monitored and reduced project uncosted balances



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Golden Field Office FY05 Planned Support to WHTP

- **Continue Management of Existing Projects**
 - Provide incremental funding for projects as authorized by WHTP
 - Review of quarterly reports, final reports, and invoices
 - Participate in formal design reviews of on-going projects
 - Increase number of On-Site Project Reviews (Depends on travel funds)
 - Award new earmark projects, if any are mandated by Congress
- **Conduct Funding Opportunity Announcement for DWT**
 - Announcement for late January, due in March, selections in late April
 - Negotiate with selected recipients and prepare project documents for Award in FY06
- **Develop other Funding Opportunity Announcements for WHTP**
 - One additional FOA for Wind
 - Two FOA's for Hydropower

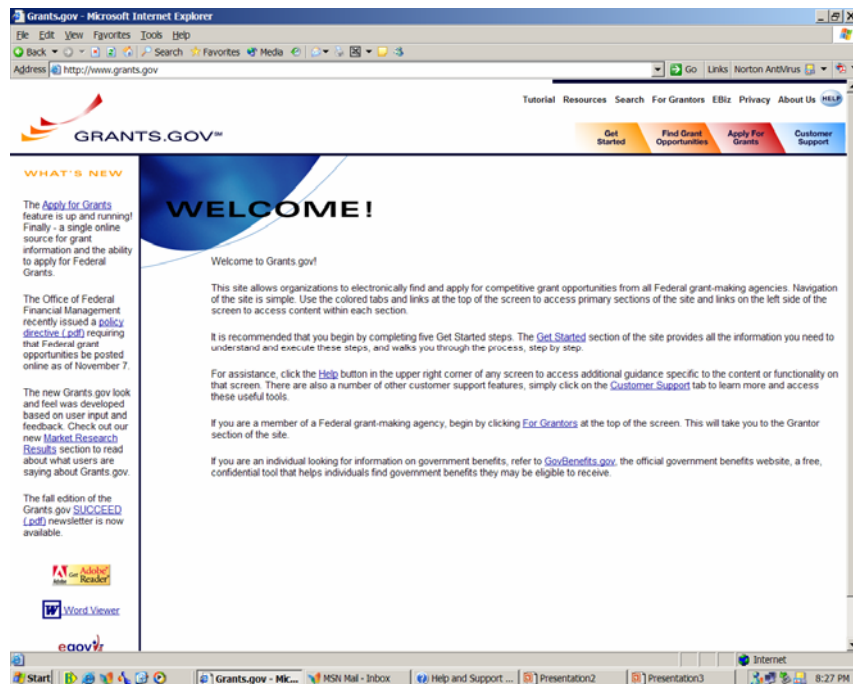


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Funding Opportunity Announcements (FOA)

Federal Grants and Cooperative Agreements are provided through a central web site: **Grants.Gov**

at URL: <http://www.grants.gov>



Purpose:

-To provide “one-stop shopping” for over 300 funding opportunities announced annually by 24 Federal Agencies.

- To simplify the application process by providing centralized verification of organizational credentials.

- To reduce paperwork by requiring only electronic submittals.

Present Status:

-In transition from DOE IIPS to Grants.Gov

- GO ran one grants.gov FOA last year and will run four FOA's this year under Grants.Gov



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Under Grants.Gov Has the Applicant's Process Changed?

Yes!!! Applicants must complete several one-time registration actions and must submit their funding application through Grants.gov. Registration will take 7 to 14 days to complete. The steps are accomplished in sequence as shown.

- a. Organization will obtain a DUNS number – *3 days*
- b. Organization will register with the Central Contractor Registry – *3 days*
- c. Organization will register the Authorized Organization Representative (AOR) - *3 days*
- d. AOR will download and install the PureEdge Viewer Software
- e. AOR will register with the Credential Provider - *3 days*
- f. AOR will complete registration with Grants.gov – *1 day*
- g. AOR will designate Privileges as E-Business Point of Contact – *1 day*
- h. AOR must then upload their funding application in Grants.gov

URL = <http://www.grants.gov/CompleteApplication>



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What are the best resources for Applicants in Grants.gov?

- Procedural steps are outlined on the GO web site
- GO has compiled condensed Grants.gov instructions at <http://www.go.doe.gov/WordForms/grants-gov.doc>.
- Best recommended resources are on the Grants.gov web site, which has Tutorials, the User Guide, and slideshow presentations showing how to complete and submit Application Packages.

Hints for application submittals:

- Application cut-off time is exactly that
- When uploading, allow time for system hick-ups
- Obtain an email receipt for your application submittal
- Any problems, be sure to log your trouble call at the help desk



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Contents of Award Package for Grants

Cover Letter

NFAA Face Page with signatures

Appendix A: Special Terms and Conditions

- Payment Provisions
 - ASAP
 - Invoice (paper or electronic)

Appendix B: Intellectual Property Provisions

Appendix C: Reporting Requirements and Budget

- DOE Form 4600.2: Fed Assistance Reporting Checklist
- Instructions
- Sample Quarterly Progress Report Format
- SF-424A: Budget Information – Non-Constr Programs

Appendix D: Statement of Objectives



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Noted Differences between DOE Agreements and Other Contracts

| Noted Differences | DOE Grant or Cooperative Agreement | Other |
|-----------------------|---------------------------------------|-------|
| Statutes | 10 CFR 600 – Grant Rules | |
| Instrument | Financial Assistance Agreement | |
| Scope | Statement of Objectives | |
| Approved Budget | DOE share is usually fixed | |
| Cost Share | Varies by type of award (0 to 50%) | |
| Cost & Task Variances | DOE requests an E-mail advance notice | |
| Time Extensions | Not automatic, alert DOE in advance | |
| Reporting | Filed electronically every 3 months | |
| Invoicing | Submit electronically under ASAP | |
| Payment | Direct Deposit within 21 days | |
| Completion | DOE requires final report for OSTI | |
| Patents | Per DOE "march-in" provisions | |
| Technical Assistance | Provided by National Labs | |
| Detailed Project Mgt. | By recipient's principal investigator | |



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DWT Grants Awarded FY04 From DOE Solicitation

| Technical Level | Organization Name | Project Title | Incremental Funding | Reports Current |
|-----------------|--|---|---------------------|-----------------|
| Concept | Global Energy Concepts | Evaluation of Aero-elastically Tailored Small Wind Turbine Blades | | X |
| Concept | TIAX LLC | Development of a Direct Drive Permanent Magnet Generator for Small Wind Turbines | | X |
| Concept | Alaska Applied Sciences, Inc. | Proof-of-concept manufacturing and extensive field testing, at an operating Palm Springs, CA wind-plant, of low-cost composite wind generator blades by High Compression Bladder Molded Prepreg (HCBMP) process | | X |
| Component | Princeton Power Systems | Reliable, Efficient and Cost-effective Electric Power Converter for Small Wind Turbines Based on AC-link Technology | Yes | X |
| Component | Composite Engineering (Wind Blade Group) | Reaction Injection Molded 7.5M Wind Turbine Blade | Yes | X |
| Component | Spellman H V Electronics Corp | 100 kW Energy Transfer Multiplexer Power Converter Prototype Development Project | Yes | |
| Component | Windward Engineering LC | Over-speed Protection System | Yes | X |
| Component | K. Wetzel & Company Inc | Develop the kW6/7, a 6-kW 7-m Small Wind Turbine | Yes | X |
| Component | Abundant Renewable Energy | ARE660 Small Wind Turbine Prototype Development Project | Yes | X |
| Prototype | Northern Power Systems | Commercial Development of a 100kW Wind Turbine For Low Wind Speed Applications | Yes | X |



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DWT Grants Awarded FY04 From DOE Solicitation

Overview of Costs for the 10 DWT Grants:

- Total DOE funds to be provided over 4 years = \$4.9 million
- Cost share to be provided by recipients = \$1.7 million
- Total estimated direct project costs = \$6.6 million over 4 yrs

Overview of Schedules for the 10 DWT Grants:

- Eight recipients are 2 to 6 months behind schedule, due to slow starts and uncertainty due to continuing resolution; i.e. no budget bill
- One recipient has encountered research problems and is significantly behind schedule – Has not taken advantage of technical support from NWTC
- One recipient will complete their final report by Dec 2004 for a concept study of a direct drive permanent magnet generator

Summary – 9 of the 10 projects are proceeding well, about as expected for R&D.



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Some Site Visits during FY04

